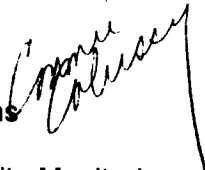




Date: February 8, 2006

To: Workforce Development Board Directors
Workforce Development Board Chairs
Chief Local Elected Officials

From: Connie Colussy, Director
Bureau of Workforce Programs 

Subject: Program Year (PY) 2005 Onsite Monitoring of Workforce Development Board (WDB) Programs

This is to announce the annual onsite monitoring of PY 2005 Division of Workforce Solutions (DWS) programs managed by the Workforce Development Boards (WDBs).

Annually, DWS conducts onsite monitoring of programs administered by WDBs. For PY 2005 these programs will include: Workforce Investment Act Title 1B (WIA) programs for adults, dislocated workers and youth, and where applicable, Special Rapid Response and National Emergency Grants. The purposes of the onsite monitoring include:

- Ensure the programs comply with appropriate policies and procedures and operate within the parameters established by law, regulations, DWS's *Workforce Programs Guide* and other program guidelines;
- Assess the quality of services provided to program participants and employers, and where appropriate, make recommendations for improvement;
- Provide technical assistance as needed or requested;
- Identify system wide issues requiring policy or program review and resolution; and
- Identify best practices to be shared with others in the workforce development system.

Onsite monitoring will occur from late March through June 2006. The Local Program Liaison assigned to your area will be contacting you to develop a schedule for the onsite work.

Enclosed are the following items:

1. An overview of the areas that will be monitored onsite.
2. The PY2005 Monitoring Survey. You will be asked to complete and return this survey to your Local Program Liaison at least 2 weeks prior to your scheduled monitoring.
3. Monitoring Guides.
4. A list of materials and documents that you should plan to have available for the monitoring team.

Thank you in advance for your assistance and cooperation in completing this important work. Please contact your Local Program Liaison if you have questions.

**Overview - Program Year 2005 Onsite Monitoring
Workforce Development Board Programs
February 2006**

As in the past, the Local Program Liaison assigned to your area will be the lead staff for monitoring in your Workforce Development Area (WDA). Due to workload issues, it may be necessary in some areas to conduct and report the program, fiscal, and civil rights monitoring separately.

Workforce Investment Act (WIA) areas to monitor during Program Year (PY) 2005 were identified based on technical assistance needs and issues identified during last year's onsite monitoring, WIA performance outcomes, Automated Systems Support for Employment and Training (ASSET) issues, and WIA policies released during the past year. In addition, some areas will be monitored in order to fulfill the Department of Workforce Development's (DWD) oversight responsibilities to the United States Department of Labor.

All Workforce Development Boards (WDB) will be monitored in the following areas:

1. WIA Title 1B Programs
 - Adult Program
 - Dislocated Worker
 - Older Youth
 - Younger Youth
2. Fiscal and Administrative Systems
 - Cost Allocation
 - Sub-Contracts
 - Single Audit
 - Agency Policies and Controls
 - Participant and Support System
 - Direct Labor
 - Other Direct Costs
 - Fiscal Reporting
 - Procurement
 - Program Income
3. WIA Local Plan Phase 1 and 2 Follow-Up
4. WIA Monitoring Process Utilized by the Workforce Development Board
5. Global Exclusions – Documentation will be reviewed for all participants that had global exclusions reported in ASSET during the PY 2004 performance period.
6. Supplemental Wage Data - Supplemental wage source documents will be reviewed for all participants that had supplemental earnings reported to Division of Workforce Solutions (DWS) during the PY 2004 performance period.

**Overview - Program Year 2005 Onsite Monitoring
Workforce Development Board Programs
February 2006**

Selected WDBs, as identified, will be monitored in the following areas:

7. Civil Rights and Equal Employment Opportunity (CR/EEO) (WIA Section 188 requirements) – Bill Franks will conduct on-site monitoring of WDBs that were not monitored in PY 2003 or PY 2004. Mr. Franks will contact the WDB directly to schedule his visit and to provide the monitoring guide he will use. The WDBs to be monitored are:
 - WDA 1- Southeastern Wisconsin
 - WDA 3 - WOW
 - WDA 4 - Fox Valley
 - WDA 5 - Bay Area
 - WDA 9 – Western Wisconsin
 - WDA 10 - South Central
8. Corrective Action Plans – Onsite follow-up of the WDBs that were required to submit PY 2004 Corrective Action Plans to DWS on March 31, 2005.

<p style="text-align: center;">Documents to Be Available for DWS Onsite Monitoring Program Year 2005</p>

The following documents, as applicable, should be readily available for the onsite review. In addition, Division of Workforce Solutions (DWS) staff may request specific documents prior to the scheduled onsite work in order to prepare for the monitoring.

Program Policies and Procedures – Local (WDB) policies related to the following:

Intake and enrollment

Referral

Assessment

Individual Employment Plan/Individual Service Strategy (IEP/ISS) development

Case management

Training

- Classroom training
- Work experience

Financial Management and Administrative Controls

Cost Allocation Plans

Memorandum of Understanding (MOUs)/Job Center Agreements

Policies, procedures and documentation for participant payments

Procurement Policies and Practices

List of subgrants by each DWS funded program

Procurement manuals

Requests for Proposals

Proposals

Proposal scoresheets

Cost/price analysis worksheets

Subgrantee/Service Provider Contracts

WDB Monitoring of Contractors and Service Providers

Monitoring documentation (completed monitoring tools, monitoring reports and resolutions)

Participant Files - The Local Program Liaison will request a sample of participant files to be available for the review. Files will be selected for review based on program, participant activities and Workforce Development Areas (WDA) and service provider configuration. The complete record that pertains to each participant selected needs to be made available. The following documents, as applicable, will be reviewed for each participant record selected:

- ☐ Local application form (or ASSET Registration with work history)
- ☐ Eligibility Determination or Program Registration Form
- ☐ Individual Employment Plan/Individual Service Strategy
- ☐ Employability Plan
- ☐ Assessment Information
- ☐ Documentation/verification of information used to determine eligibility (for programs and program activities)
- ☐ Authorization for Release of Information
- ☐ Participant's Rights and Responsibilities
- ☐ Case notes documenting contact with the participant, progress in the program and follow up activities (if not in ASSET)
- ☐ Contracts for employer-based training (OJT, work experience, etc.)
- ☐ Other materials as applicable that support or document participant eligibility or activities, e.g., job search activity records, supportive service referrals, training attendance records, applications for financial aid, etc.

Program Year 2005 Monitoring Survey

Workforce Investment Act (WIA) Title IB (Adult, Dislocated Worker and Youth)

Department of Workforce Development
Division of Workforce Solutions (DWS)
Bureau of Workforce Programs, WIA Section
201 E. Washington Avenue, P.O. Box 7972
Madison, WI 53707-7972

The Monitoring Survey is a part of the WDA program review process. Its purpose is to assist you and DWS staff to prepare for the upcoming on-site visit. Prior to the onsite review, a desk review is conducted. A variety of information is used in doing so, including your response to the Monitoring Survey. This survey requests information and documents that are needed for the desk review.

Please submit the completed Monitoring Survey and requested documents to your DWS Local Program Liaison at least two weeks prior to your scheduled on-site monitoring visit. The Monitoring Survey and all attachments **must be submitted electronically. Hard copies are not required.**

Thank you for your assistance in completing this portion of the Program Year (PY) 05 review process. Please contact your DWS Local Program Liaison if you have any questions or concerns.

Theresa Loerke	(608) 264-8179	theresa.loerke@dwd.state.wi.us
Karen Pfeil	(608) 266-9663	karen.pfeil@dwd.state.wi.us
Eduardo Saenz	(608) 266-1150	eduardo.saenz@dwd.state.wi.us

Monitoring

Please submit the Workforce Development Board's (WDB's) Monitoring Plan, schedule and monitoring instruments.

Local Policy Updates

Please submit **(electronically)** any changes to WDB local policies for your WIA programs since the last WDB local plan submission. If no changes have been made indicate by "N/A". These policies include:

- a. Individual Training Accounts (ITA) policy
- b. Supportive services policy
- c. Priority of service policy for intensive services ("insufficient funds" analysis)
- d. Priority of service policy for training services ("insufficient funds" analysis)
- e. Definition of self-sufficiency
- f. Youth – 6th youth eligibility criterion
- g. Youth – definition of deficient in basic skills

Please submit **(electronically)** the following local policies. If these policies were submitted with the PY04 monitoring survey and if no changes have been made please indicate by "N/A".

- h. Participant payments (Incentive/bonus policy)
- i. Credential policy – based on credential reporting per WIA Policy Update 04-13 dated November 5, 2004
- j. Follow-Up policy – based on WIA Policy Update 04-02 dated September 10, 2004
- k. Process for conducting follow up to obtain supplemental employment information from participants per WIA Policy Update 04-07 updated November 30, 2005
- l. Policy for younger youth goal setting and monitoring per WIA Policy Update 04-06 dated May 17, 2004
- m. Soft exit monitoring and oversight including any locally defined criteria that describe appropriate reasons to extend service dates to prevent soft exits
- n. ASSET case management and file reviews to ensure proper documentation and reporting (quality assurance)
- o. Locally developed policies for submitting data correction requests via ASSET per WIA Policy Update 04-12 dated January 20, 2005
- p. Locally developed policies for recovery of intangible training costs per WIA Policy Update 04-11 dated March 9, 2005
- q. On-the-Job Training (OJT) policy
- r. OJT Contract (template)
- s. Locally developed policy for determining when a participant should be exited

Monitoring Survey Program Year 2005
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WIA Title IB Adult, Dislocated Worker and Youth Programs

1. Identify current One Stop Operators.

One Stop Operator	Counties/Job Centers

2. Identify current Adult Program Service Providers

Service Provider	Counties/Job Centers/Target Groups or Services

3. Identify current Dislocated Worker Program Service Providers

Service Provider	Counties/Job Centers/Target Groups or Services

4. Please review the Youth Service Provider listing at www.dwd.state.wi.us/dwdwia/youth/default.htm and identify any changes.

Monitoring Survey Program Year 2005
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General

1. Identify any technical assistance needs you have in your WDA.
2. Please identify any model program(s) you would specifically like to make DWS aware of.